

FORM PTO-1390 (REV. 02-2005)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER
<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371</b>		40072-0027		
		U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>10/561,211</b> To be assigned		
INTERNATIONAL APPLICATION NO. <b>PCT/JP2004/008729</b>	INTERNATIONAL FILING DATE <b>June 21, 2004</b>	PRIORITY DATE CLAIMED <b>June 19, 2003</b>		
TITLE OF INVENTION <b>TRICYCLIC TRIAZOLOBENZAZEPINE DERIVATIVE PRODUCED AS NOVEL CRYSTALLINE SUBSTANCE</b>				
APPLICANT(S) FOR DO/EO/US <b>Shinichi KITAHARA; Toshihiro YAMAGUCHI</b>				
<p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li><input checked="" type="checkbox"/> The US has been elected (Article 31).</li> <li><input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ul> </li> <li><input checked="" type="checkbox"/> A English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ul> </li> <li><input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> had been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ul> </li> <li><input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li><input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li><input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> <p><b>Items 11 to 20. below concern document(s) or information included:</b></p> <ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li><input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included</li> <li><input checked="" type="checkbox"/> A preliminary amendment.</li> <li><input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li> <li><input type="checkbox"/> A substitute specification.</li> <li><input type="checkbox"/> A power of attorney and/or address letter.</li> <li><input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 132 and 37 CFR 1.821-1825</li> <li><input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4)</li> <li><input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li><input checked="" type="checkbox"/> Other items or information: Copy of PCT/ISA/210; PCT/IB/308; PCT/IB/301; PCT/IB/304</li> </ol>				

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.7) <b>10/561211</b>	INTERNATIONAL APPLICATION NO. <b>PCT/JP2004/008729</b>	ATTORNEY'S DOCKET NUMBER <b>40072-0027</b>					
21. The following fees are submitted:		<b>CALCULATIONS PTO USE ONLY</b>					
<input checked="" type="checkbox"/> a) Basic national fee.....\$300.00 <input checked="" type="checkbox"/> b) Examination fee .....\$200.00 <input checked="" type="checkbox"/> c) Search fee.....\$500.00							
<b>TOTAL OF ABOVE CALCULATIONS =</b>		<b>900.00</b>					
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.							
<b>TOTAL SHEETS</b>	<b>EXTRA SHEETS</b>	<b>NUMBER EXTRA (of each additional 50 or fraction thereof rounded up to a whole number)</b>					
-100 =	50 =	x \$250.00					
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).							
<b>CLAIMS</b>	<b>NUMBER FILED</b>	<b>NUMBER EXTRA</b>	<b>RATE</b>				
Total claims	8 - 20 =	0	x \$50.00				
Independent claims	1 - 3 =	0	x \$200.00				
<b>MULTIPLE DEPENDENT CLAIM(S) (if applicable)</b>		+ \$360.00					
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.		<b>SUBTOTAL =</b> <b>900.00</b>					
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).		+					
		<b>TOTAL NATIONAL FEE =</b>					
Fee for recording the enclose assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property		<b>40.00</b>					
		<b>TOTAL FEES ENCLOSED =</b> <b>940.00</b>					
		<b>Amount to be refunded:</b>	\$				
		<b>Amount to be charged:</b>	\$				
<p>a. <input checked="" type="checkbox"/> A check in the amount of <u>\$940.00</u> to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.</p> <p>A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment To Deposit Account No. <u>08-1641</u> A duplicate coy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING: Information on this form may become public. Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.</p> <p><b>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b></p> <p>SEND ALL CORRESPONDENCE TO:</p> <p><b>Customer No.: 26633</b></p> <p><b>SIGNATURE</b> <i>John P. Isaacson</i></p> <p><b>John P. Isaacson, Reg. No. 33,715</b></p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">NAME</td> <td style="width: 50%;">Date</td> </tr> <tr> <td>REGISTRATION NO.: 33,715</td> <td>December 19, 2005</td> </tr> </table>				NAME	Date	REGISTRATION NO.: 33,715	December 19, 2005
NAME	Date						
REGISTRATION NO.: 33,715	December 19, 2005						

COMBINED FEE TRANSMITTAL  
for FY 2005

Effective 12/08/2004. Patent fees are subject to annual revision.

PTO/SB/17 (12-04) (Revised) (For payment of 37 CFR 1.17 fees including (f), (g), (h), &amp; (i))

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 940.00)

10/561211  
IAP9 Rec'd PCT/PTO 19 DEC 2005  
Complete & Known  
For Design

Application Number	10/561211
Filing Date	December 19, 2005
First Named Inventor	Shinichi KITAHARA et al.
Examiner Name	To be assigned
Art Unit	To be assigned
Attorney Docket No.	40072-0027

## METHOD OF PAYMENT (check one)

<input checked="" type="checkbox"/> Check	<input type="checkbox"/> Credit card	<input type="checkbox"/> Money Order	<input type="checkbox"/> Other	<input type="checkbox"/> None
<input type="checkbox"/> Deposit Account				

Deposit Account Number: 08-1641

Deposit Account Name: Heller Ehrman White &amp; McAuliffe LLP

## The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below

Credit any overpayments and charge any deficiencies

Charge any additional fee(s) during the pendency of this application

Charge fee(s) indicated below, except for the filing fee to the deposit account

## FEE CALCULATION (continued)

4. PETITION FEES UNDER 37 CFR 1.17 (f) Fee Code: 1462 Fee \$ 400 For petitions filed under: § 1.53(e); § 1.57(a); § 1.182; § 1.183; § 1.378(e); § 1.741(b)	Fee Paid
5. PETITION FEES UNDER 37 CFR 1.17 (g) Fee Code: 1463 Fee \$ 200 For petitions filed under: § 1.12; § 1.14; § 1.47; § 1.59; § 1.103(a); § 1.136(b); § 1.295; § 1.296; § 1.377; § 1.550(c); § 1.956; § 5.12; § 5.15; § 5.25	Fee Paid
6. PETITION FEES UNDER 37 CFR 1.17 (h) Fee Code: 1464 Fee \$ 130 For petitions filed under: § 1.19(g); § 1.84; § 1.91; § 1.102(d); § 1.138(c); § 1.313; § 1.314	Fee Paid
7. PROCESSING FEES UNDER 37 CFR 1.17 (i) Fee Code: 1808 (1803 for § 1.221) Fee \$ 130 For petitions filed under: § 1.28(c)(3); § 1.41; § 1.48; § 1.52(d); § 1.53(b)(3); § 1.55; § 1.99(e); § 1.103(b); § 1.103(c); § 1.103(d); § 1.217; § 1.221; § 1.291(c)(5); § 1.497(d); § 3.81	Fee Paid

## FEE CALCULATION

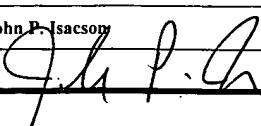
## 1. BASIC FILING, SEARCH, AND EXAMINATION FEES

	FILING FEES		SEARCH FEES		EXAMINATION FEES		
Application Type	Entity Fee (\$)	Small Entity Fee (\$)	Entity Fee (\$)	Small Entity Fee (\$)	Entity Fee (\$)	Small Entity Fee (\$)	Fees Paid (\$)
Utility	300	150	500	250	200	100	900.00
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	
SUBTOTAL (1)				900.00			

## 2. EXTRA CLAIM FEES

Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Entity Fee (\$)	Entity Fee (\$)	Fee Description	Fee Paid
50	25	Each claim in excess of 20 or, for Reissues, each claim in excess of 20 and more than in the original patent	500	250	Filing a brief in support of an appeal	
200	100	Each Independent claim in excess of 3 or, for Reissues, each independent claim more than in the original patent	790	395	Filing a submission after final rejection (37 CFR 1.129(a))	
360	180	Multiple dependent claim, if not already paid	1,510	1,510	Petition to institute a public use proceeding	
Extra Claims			500	250	Petition to revive - unavoidably abandoned application	
Total Claims	8	-20** = 0 x =	1,500	750	Petition to revive - unintentionally abandoned application	
Independent Claims	1	-3** = 0 x =	50	50	Processing fee for provisional appls (37 CFR 1.17(q))	
**or number previously paid, if greater; For Reissues see below						
Multiple Dependent			180	180	Submission of Information Disclosure Statement	
SUBTOTAL (2)			1,000	500	Request for oral hearing	
3. APPLICATION SIZE FEE						
If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof (round up to the a whole number). See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s)						
Total Sheets		Extra Sheets	Number of each additional 50	Fee (\$)	Small Entity Fee (\$)	
	-100 =	/50 =	x 250	OR	x 125	
SUBTOTAL (3)			\$			

## SUBMITTED BY

Name (Print/Type)	John P. Isaacson	Registration No. (Attorney/Agent)	33,715	Telephone	202-912-2000
Signature		Date	December 19, 2005	Customer No.	26633

\* Reduced by Basic Filing Fee Paid